

DECLARATION

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As a below named inventor, I hereby declare that my residence, post office address, and citizenship are as stated below next to my name. Further, I hereby declare that I believe I am an original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled, TELOMERASE REVERSE TRANSCRIPTASE TRANSCRIPTIONAL REGULATORY SEQUENCES, the specification of which was filed on 4 February, 2000 and has been given application serial no. PCT/US00/03104 designating the U.S.; and

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above; and

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56.

FOREIGN PRIORITY CLAIM

I hereby claim foreign priority benefits under Title 35, United States Code Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

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Serial Number	Filing Date	Status (patented / pending / abandoned)
09/244,438	4 February 1999	Pending
PCT/US00/03104	4 February 2000	Pending

Send correspondence to: David J. Earp, J.D., Ph.D.
GERON CORPORATION
230 Constitution Drive
Menlo Park, CA 94025

Direct telephone calls to: David J. Earp, J.D., Ph.D.
telephone number 650-473-7721

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

First Inventor's Signature:

Date:

Full Name: Gregg B. Morin

Citizenship:

U.S.

Residence Address: 3407 Janice Way, Palo Alto, California 94303-4213

622 MARINA CIRCLE, DAVIS CA 95616

Second Inventor's Signature: _____ Date: _____
Full Name: Serge Lichtsteiner _____ Citizenship: Switzerland
Residence Address: 1617 Honeysuckle Court, Encinitas, California 92024

Third Inventor's Signature: _____ Date: _____
Full Name: Alain Vasserot _____ Citizenship: Switzerland
Residence Address: 1158 Park Hills Road, Berkeley, California 94708

Fourth Inventor's Signature: _____ Date: _____
Full Name: Robert Adams _____ Citizenship: U.S.
Residence Address: 419 Hillway Drive, Redwood City, California 94062

Fifth Inventor's Signature: _____ Date: _____
Full Name: Lisa M. Cardoza _____ Citizenship: U.S.
Residence Address: 1600 East 3rd Avenue #2603, San Mateo, California 94401

Sixth Inventor's Signature: _____ Date: _____
Full Name: Jane S. Lebkowski _____ Citizenship: U.S.
Residence Address: 150 Gabarda Way, Portola Valley, California 94028

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First Inventor's Signature: _____

Date: • _____

Full Name: Gregg B. Morin

Citizenship: U.S.

Residence Address: 3407 Janice Way, Palo Alto, California 94303-4213

Second Inventor's Signature:  Date: 05/01/00
Full Name: Serge Lichtsteiner Citizenship: Switzerland
Residence Address: 1617 Honeysuckle Court, Encinitas, California 92024

Third Inventor's Signature: _____ Date: _____
Full Name: Alain Vasserot Citizenship: Switzerland
Residence Address: 1158 Park Hills Road, Berkeley, California 94708

Fourth Inventor's Signature: _____ Date: _____
Full Name: Robert Adams Citizenship: U.S.
Residence Address: 419 Hillway Drive, Redwood City, California 94062

Fifth Inventor's Signature: _____ Date: _____
Full Name: Lisa M. Cardoza Citizenship: U.S.
Residence Address: 1600 East 3rd Avenue #2603, San Mateo, California 94401

Sixth Inventor's Signature: _____ Date: _____
Full Name: Jane S. Lebkowski Citizenship: U.S.
Residence Address: 150 Gabarda Way, Portola Valley, California 94028

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First Inventor's Signature: _____

Date: _____

Full Name: Gregg B. Morin

Citizenship: U.S.

Residence Address: 3407 Janice Way, Palo Alto, California 94303-4213

Second Inventor's Signature: _____ Date: _____
Full Name: Serge Lichtsteiner _____ Citizenship: Switzerland
Residence Address: 1617 Honeysuckle Court, Encinitas, California 92024

Third Inventor's Signature: _____ Date: 03/22/92
Full Name: Alain Vasserot _____ Citizenship: Switzerland
Residence Address: 1158 Park Hills Road, Berkeley, California 94708

Fourth Inventor's Signature: _____ Date: _____
Full Name: Robert Adams _____ Citizenship: U.S.
Residence Address: 419 Hillway Drive, Redwood City, California 94062

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First Inventor's Signature: _____

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Full Name: Gregg B. Morin

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Residence Address: 3407 Janice Way, Palo Alto, California 94303-4213

Second Inventor's Signature: _____ Date: _____
Full Name: Serge Lichtsteiner _____ Citizenship: Switzerland
Residence Address: 1617 Honeysuckle Court, Encinitas, California 92024

Third Inventor's Signature: _____ Date: _____
Full Name: Alain Vasserot _____ Citizenship: Switzerland
Residence Address: 1158 Park Hills Road, Berkeley, California 94708

Fourth Inventor's Signature:  _____ Date: 5-9-00
Full Name: Robert Adams _____ Citizenship: U.S.
Residence Address: 419 Hillway Drive, Redwood City, California 94062

Fifth Inventor's Signature: _____ Date: _____
Full Name: Lisa M. Cardoza _____ Citizenship: U.S.
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09/10/00 10:00 AM

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Fourth Inventor's Signature: _____ Date: _____
Full Name: Robert Adams _____ Citizenship: U.S.
Residence Address: 419 Hillway Drive, Redwood City, California 94062

Fifth Inventor's Signature: Lisa M Cardoza _____ Date: 5/16/00
Full Name: Lisa M. Cardoza _____ Citizenship: U.S.
Residence Address: 1600 East 3rd Avenue #2603, San Mateo, California 94401

Sixth Inventor's Signature: _____ Date: _____
Full Name: Jane S. Lebkowski _____ Citizenship: U.S.
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Date: _____

Full Name: Gregg B. Morin

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Date: _____

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Date: _____

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Citizenship: U.S.

Residence Address: 150 Gabarda Way, Portola Valley, California 94028

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(F) & 1.27(C)) - SMALL BUSINESS CONCERN**

I hereby declare that I am an official of the small business concern empowered to act on behalf of the concern identified below:

Name of Small Business Concern GERON CORPORATION

Address of Small Business Concern 230 CONSTITUTION DRIVE, MENLO PARK, CALIFORNIA 94025

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR § 121.12, and reproduced in 37 CFR § 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled TELOMERASE REVERSE TRANSCRIPTASE TRANSCRIPTIONAL REGULATORY SEQUENCES, by inventors Gregg B. Morin, Serge Lichtsteiner, Alain Vasserot, Robert Adams, Lisa M. Cardoza, and Jane S. Lebkowski, described in the specification filed herewith with title as listed above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR § 1.9(c) if that person made the invention, or by any concern that would not qualify as a small business concern under 37 CFR § 1.9(d), or a nonprofit organization under 37 CFR § 1.9(e).

Name [no such individual, concern, or organization exists]

Address _____

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NONPROFIT

ORGANIZATION

Name _____

Address _____

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NONPROFIT

ORGANIZATION

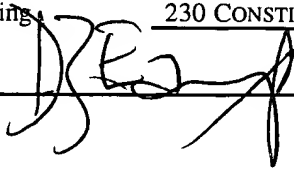
I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR § 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of person signing DAVID J. EARP, J.D., PH.D.

Title of person (if other than owner) VICE PRESIDENT INTELLECTUAL PROPERTY

Address of person signing 230 CONSTITUTION DRIVE, MENLO PARK, CALIFORNIA 94025

Signature: 

Date: July 10, 2000

00740 5505050

Please type a plus sign (+) inside this box ➡ ☐

PTO/SB/81 (11-96)
Approved for use through 6/30/99, OMB 0651-0035

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**POWER OF ATTORNEY OR
AUTHORIZATION OF AGENT,
ACCOMPANYING
APPLICATION**

Application Number	[to be assigned]
Filing Date	Herewith
First Named Inventor	Morin, G., et al.
Group Art Unit	[to be assigned]
Examiner Name	[to be assigned]
Attorney Docket Number	019/251C

I hereby appoint:

☒ Practitioners at Customer Number

022869

OR

☐ Practitioner(s) named below:



Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☐ The above-mentioned Customer Number.

OR

☐ Firm or
Individual Name

Address

Address

City

State

ZIP

Country

Telephone

Fax

I am the:

☐ Applicant.

☒ Assignee of record of the entire interest
Certificate under 37 CFR 3.73(b) is enclosed

SIGNATURE of Applicant or Assignee of Record

Name

David J. Earp, Registration No. 41,401

Vice President, Intellectual Property, Geron Corporation

Signature

Date

JULY 10, 2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Geron Corporation

Application No.: [to be assigned]

Filed Date: Herewith

Entitled: TELOMERASE REVERSE TRANSCRIPTASE TRANSCRIPTIONAL REGULATORY SEQUENCES

GERON CORPORATION, a corporation, states that it is the assignee of the entire right, title, and interest in the patent application identified above by virtue of an assignment from the inventor(s) of parent application PCT/US00/03104, a true copy of which is attached hereto.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

July 10, 2000

Date



Signature

David J. Earp, Reg. No. 41,401

Typed or printed name

Vice President, Intellectual Property

Title

COPY

PATENT
Docket No.: 019/250PCT

ASSIGNMENT

Whereas we, Gregg B. Morin, Serge Lichtsteiner, Alain Vasserot, Robert Adams, Lisa M. Cardoza, Jane S. Lebkowski

executed employment agreements with Geron Corporation (hereinafter called Geron), a Delaware Corporation having its principal place of business at 230 Constitution Drive, Menlo Park, CA 94025, whereby we have agreed to assign to Geron all inventions (except as otherwise limited by law) which relate to Geron business and which were first conceived or actually reduced to practice during our employment by Geron;

Now, therefor, pursuant to the terms of said employment agreements and for good and valuable consideration, receipt of which is hereby acknowledged, we do hereby sell, assign and transfer unto Geron, its successors and assigns, the entire right, title and interest, including the right of priority in, to and under an application for Letters Patent of the United States entitled:

TELOMERASE REVERSE TRANSCRIPTASE TRANSCRIPTIONAL REGULATORY SEQUENCES

[] filed herewith and the inventions set forth and described therein, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefor; or

[X] Serial No. PCT/US00/03104 filed on 4 February 2000 and the inventions set forth and described therein, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefor;

And for the above consideration, we agree promptly upon request of Geron, its successors or assigns, to execute and deliver without further compensation any power of attorney, assignment, application, whether original, continuation, divisional or reissue, or other papers which may be necessary or desirable fully to secure to Geron, its successors and assigns, the inventions described in said application and all patent rights therein, in the United States and in any country foreign thereto, and to cooperate and assist in the prosecution of interference proceedings involving said inventions and in the adjudication or reexamination of said Letters Patent provided the expenses which may be incurred by me in lending such cooperation and assistance are paid by Geron.

In witness whereof, we hereunto set our hands and seal:

Inventor's Signature: Gregg B. Morin Date: 5/10/00
Gregg B. Morin

Inventor's Signature: _____ Date: _____
Serge Lichtsteiner

Inventor's Signature: _____ Date: _____
Alain Vasserot

Inventor's Signature: Robert Adams Date: 5-9-00
Robert Adams

Inventor's Signature: Lisa M. Cardoza Date: 5/16/00
Lisa M. Cardoza

Inventor's Signature: _____ Date: _____
Jane S. Lebkowski

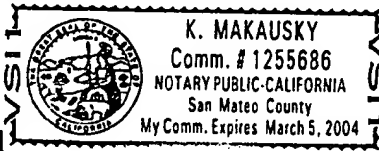
State of California

} ss.

County of San Mateo

Before me this 10th day of May 2000 personally appeared
Gregg B. Morin personally known to me (or proved to me on the basis of satisfactory evidence)
to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he
executed the same in his authorized capacity, and that by his signature on the instrument the person
executed the instrument.

Notary Stamp/Seal



Notary Public

K. Makusky

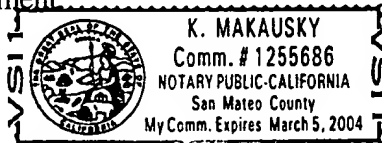
State of California

} ss.

County of San Mateo

Before me this 9th day of May 2000 personally appeared
Robert Adams personally known to me (or proved to me on the basis of satisfactory evidence)
to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he
executed the same in his authorized capacity, and that by his signature on the instrument the person
executed the instrument.

Notary Stamp/Seal



Notary Public

K. Makusky

State of California

} ss.

County of San Mateo

Before me this 16th day of May 2000 personally appeared
Lisa M. Cardoza personally known to me (or proved to me on the basis of satisfactory evidence)
to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that she
executed the same in her authorized capacity, and that by his signature on the instrument the person
executed the instrument.

Notary Stamp/Seal



Notary Public

K. Makusky

COPY

PATENT
Docket No.: 019/250PCT

ASSIGNMENT

Whereas we, Gregg B. Morin, Serge Lichtsteiner, Alain Vasserot, Robert Adams, Lisa M. Cardoza, Jane S. Lebkowski

executed employment agreements with Geron Corporation (hereinafter called Geron), a Delaware Corporation having its principal place of business at 230 Constitution Drive, Menlo Park, CA 94025, whereby we have agreed to assign to Geron all inventions (except as otherwise limited by law) which relate to Geron business and which were first conceived or actually reduced to practice during our employment by Geron;

Now, therefor, pursuant to the terms of said employment agreements and for good and valuable consideration, receipt of which is hereby acknowledged, we do hereby sell, assign and transfer unto Geron, its successors and assigns, the entire right, title and interest, including the right of priority in, to and under an application for Letters Patent of the United States entitled:

TELOMERASE REVERSE TRANSCRIPTASE TRANSCRIPTIONAL REGULATORY SEQUENCES

[] filed herewith and the inventions set forth and described therein, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefor; or

[X] Serial No. PCT/US00/03104 filed on 4 February 2000 and the inventions set forth and described therein, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefor;

And for the above consideration, we agree promptly upon request of Geron, its successors or assigns, to execute and deliver without further compensation any power of attorney, assignment, application, whether original, continuation, divisional or reissue, or other papers which may be necessary or desirable fully to secure to Geron, its successors and assigns, the inventions described in said application and all patent rights therein, in the United States and in any country foreign thereto, and to cooperate and assist in the prosecution of interference proceedings involving said inventions and in the adjudication or reexamination of said Letters Patent provided the expenses which may be incurred by me in lending such cooperation and assistance are paid by Geron.

In witness whereof, we hereunto set our hands and seal:

Inventor's Signature: _____ Date: _____

Gregg B. Morin

Inventor's Signature: _____ Date: 05/01/00

Serge Lichtsteiner

Inventor's Signature: _____ Date: _____

Alain Vasserot

Inventor's Signature: _____ Date: _____

Robert Adams

Inventor's Signature: _____ Date: _____

Lisa M. Cardoza

Inventor's Signature: _____ Date: _____

Jane S. Lebkowski

COPY

PATENT
Docket No.: 019/250PCT

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In witness whereof, we hereunto set our hands and seal:

Inventor's Signature: _____	Date: _____
Gregg B. Morin	
Inventor's Signature: _____	Date: _____
Serge Lichtsteiner	
Inventor's Signature: _____	Date: 03/24/00
Alain Vasserot	
Inventor's Signature: _____	Date: _____
Robert Adams	
Inventor's Signature: _____	Date: _____
Lisa M. Cardoza	
Inventor's Signature: _____	Date: _____
Jane S. Lebkowski	

COPY

PATENT
Docket No.: 019/250PCT

ASSIGNMENT

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In witness whereof, we hereunto set our hands and seal:

Inventor's Signature: _____ Date: _____
Gregg B. Morin

Inventor's Signature: _____ Date: _____
Serge Lichtsteiner

Inventor's Signature: _____ Date: _____
Alain Vasserot

Inventor's Signature: _____ Date: _____
Robert Adams

Inventor's Signature: _____ Date: _____
Lisa M. Cardoza

Inventor's Signature: _____ Date: May 9, 2000
Jane S. Lebkowski

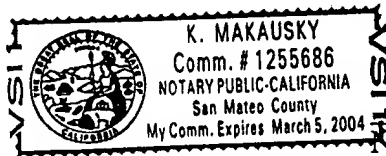
State of California

} ss.

County of San Mateo

Before me this 8th day of June 2002 personally appeared
Jane S. Lebkowski personally known to me (or proved to me on the basis of satisfactory evidence)
to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that she
executed the same in her authorized capacity, and that by her signature on the instrument the person
executed the instrument.

Notary Stamp/Seal



Makusky
Notary Public